

STATE OF COLORADO  
DEPARTMENT OF MILITARY & VETERANS AFFAIRS  
Regulation 623-1



Personnel General

PERFORMANCE PLANNING  
AND EVALUATION 2005

The Adjutant General  
Centennial, Colorado  
March 2005

UNCLASSIFIED

Department of Military and Veterans Affairs Regulation 623-1

**Most Current as of February 2006**

Effective: 1 March 2005

Personnel – General

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STATE OF COLORADO PERFORMANCE PAY PROGRAM

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Order of the Governor:

MASON C. WHITNEY, Maj. Gen., COANG  
The Adjutant General

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**Performance Pay Program Purpose:** This regulation establishes Colorado Department of Military and Veterans Affairs policy, criteria and administrative instructions concerning performance planning and evaluations.

**Applicability:** This regulation is applicable to all state employees within the Department, as well as Technicians, AGRs and others who supervise those employees.

**Proponent:** The proponent of this regulation is the State Personnel Director for the Department of Military and Veterans Affairs.

**Internal Control System:** This regulation is not subject to the requirements of AR 11-2. It does not contain internal control provisions.

**EEO Statement:** Performance salary adjustments approved for granting to state personnel will be made without regard to race, color, creed, sex, age, or national origin.

**Supplementation:** Supplementation to this regulation is prohibited unless prior approval is obtained from the Office of the Adjutant General of the State of Colorado.

**Suggested Improvements:** The proponent of this regulation is the Colorado Adjutant General. Users of this regulation are invited to send comments and suggested improvements directly to DMVA, ATTN: State Personnel Director, 6848 South Revere Parkway, Centennial, CO 80112-6703.

**Distribution and Restrictions:** Approved for public release. Local and electronic reproductions authorized.

**Changes:** This document and is subject to change as 4 Colorado Code of Regulation 801 is revised by the Department of Personnel and Administration and/or the State Personnel Board.

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This regulations supersedes all previous guidance on Performance Pay dated prior to March 1, 2005

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## Chapter 1 General Information

### 1-1. Background

a. At the request of the Colorado State Legislature in 1996, General Support Services Department of Personnel was tasked with developing an alternate system to replace the automatic anniversary pay increases by which State employees were being compensated. Each Department of State government was asked to appoint an individual as the P.O.C. who would have responsibility for developing that Department's modus operandi for carrying out the legislative intent. Considerable latitude was given to develop policies and tools tailor-made based on each Department's own culture and management style, within the parameters set forth for the state as a whole.

b. Late Spring of 2000, the state legislature required the State Department of Personnel to revise the parameters and procedures for Performance Pay. A modified system was presented by the State Department of Personnel August 31, 2000. Subsequently new Rules and Procedures were implemented. As a result, automatic anniversary pay increases ceased effective June 30, 2002.

## Chapter 2 Performance Management

### 2-1. General

Performance Pay is a system whereby performance is proactively managed and employees are compensated based on their individual job performance rather than based solely on longevity. The supervisor is responsible for assuring that the employee is fully aware of the aspects of the assigned tasks which will be evaluated; that is, of the expectations of the supervisor. It is also the supervisor's responsibility to act as a coach (think Broncos) to guide, direct, train and motivate the employee in order that s/he can reach the fullest potential in performance of the job. The supervisor will be held accountable, and will be rated on his/her management of the employee's performance. Also included in performance management is the development of a Plan, conducting interim reviews, and a final performance evaluation.

### 2-2. Employee Performance Plan

a. DMVA's Performance management year starts April 1 and ends the following March 31. A Plan will be established each year for each and every permanent employee. It will be a partnership, not a top-down endeavor. Supervisors and employees are to develop the standards (measures, elements) together on the form provided. Supervisors will seriously consider the input of the employee when developing the Plan. If properly utilized, the Plan is a way to insure that the work unit standard is being met and that employees are being compensated commensurate with their performance. The PDQ should be used as a resource in the planning phase. All Performance Agreements are required to include statewide "uniform core competencies." These competencies are: communication, interpersonal skills, customer service, accountability and job knowledge. Employee performance plans should align with DMVA's goals and objectives.

b. New employees, including transfers, and those who promote, demote or lateral into another position, **must** receive a Performance Plan within thirty (30) days of appointment. If an employee moves to another appointing authority or Department during a performance cycle, an interim overall evaluation shall be completed and delivered to the new appointing authority or Department. If a supervisor does not complete a Performance Plan or review, the Reviewer is responsible for its completion, and on up the chain of command. The Supervisor will, then, not be eligible for a performance salary adjustment.

c. The DMVA State Personnel Office must receive a **copy** of all Performance Agreements no later than April 30 each year or within 30 days of hire, unless otherwise determined. Two interim reviews are required at a minimum and should be noted on the Performance Plan and Evaluation form in the appropriate space and initialed by both the employee and the supervisor. The supervisor is not required to put the information discussed at the interim review on the form unless they choose to do so. A copy of the interim review does not need to be provided to the DMVA State Personnel Office.

## 2-3. Year-End Performance Evaluation

a. At the end of each rating year (March 31), supervisors must meet with their subordinates to share information about the employee's performance during the past year. The supervisor should take into account information provided by the employee prior to making a final rating determination. After discussion with the employee, the supervisor can complete the form, including comments, and assign a **proposed** rating. The Reviewer and supervisor should discuss the proposed rating and come to a final agreement. *(See **Review Process**.)* Proposed level 4 ratings must be forwarded to the DMVA State Personnel Office who will present it to the management review committee for consideration **and approval**.

b. Timelines will be strictly adhered to for supervisors who are state employees, and a factor will be incorporated into their performance plan to this affect. If the supervisor does not conduct an evaluation within thirty (30) days of the close of the evaluation period, the Reviewer shall complete the evaluation. If neither party completes the evaluation, then the next level supervisor is responsible and on up the chain of command. Any employee who does not receive a **timely** evaluation (i.e. no later than 30 April) will automatically be considered as a Level 2 employee (i.e. "met requirements" or "satisfactory"), but can dispute said default rating. The rating will not be considered final and the dispute resolution process may apply.

c. The Plan and Evaluation form has a section for writing individual technical performance standards, with a comment section for each. Ratings on each technical standard are to be given at one of three levels 1-3. ***Level 4 recommendations must be outlined in detail on the form.*** Level 4 should be rare and difficult to achieve and "represent consistently exceptional performance or achievement beyond the regular assignment". Statewide core competencies are included in each employee's plan and they will also be rated on these competencies as met, needs improvement, or not met.

### *d. Performance Levels - Definitions*

#### **Level 4 - Outstanding**

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

#### **Level 3 - Excellent**

This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

#### **Level 2 - Proficient**

This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

#### **Level 1- Needs Improvement**

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more consistent, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a Level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

e. If an employee receives an overall Level 1 rating, that employee shall receive a corrective action and be ineligible for a performance salary adjustment. An employee who does not meet the standard or receives a needs improvement on more than one of the Core Competency "factors" will likewise be ineligible for any performance salary adjustment regardless of their rating on the Technical portion of the evaluation.

f. In the event the supervisor does not perform a **timely** plan or evaluation, and absent extraordinary circumstances (which does **not** include a heavy work load), the supervisor (or Reviewer) is **not** eligible for a performance salary adjustment for that performance year and will receive a corrective action. Supervisors who do not complete evaluations within 30 days of the corrective action are subject to further action as provided in State Personnel Director's Procedures P-6-2 and CRS 24-50-118 (currently 5-day suspensions without pay).

g. All evaluations must be completed, including Reviewer signature, and received in the DMVA State Personnel Office by April 30. *See Review Process.*

h. New employees, *except Transfers*, whose effective hire date is after December 31 in the performance year, will receive a Performance Plan, and the March 31 rating can be abbreviated. They will not be eligible for a performance salary adjustment until July 1 of the following year (e.g. start work January 1, 2005, eligible for performance salary adjustment July 1, 2006). Interim reviews must take place.

i. Employees who transfer in to DMVA after January 31 will be evaluated by their DMVA supervisor who must take into account the rating given by the former Department, if any. Employees transferring prior to January 31 need not have the rating from their former Department entered into the equation unless the DMVA supervisor wishes to include it. If an employee transfers after April 30, they must be granted a performance salary adjustment based on the former Department's rating, but based on DMVA's implementation plan.

## 2-4. AGRs and Federal Technicians

AGR and Federal Technicians who supervise state employees will have a performance element built into their appraisal/efficiency report that they must comply with Colorado Revised Statutes and this Implementation Plan. If standards and timelines are not met they will receive a mandatory unsatisfactory rating on this element. Additionally, they must be certified as a supervisor by attendance at training classes provided by the DMVA State Personnel Office. The AGR or Federal Technician's supervisor will be held accountable for any non-compliance of their subordinates.

## 2-5. Review Process

a. As stated above, prior to a final rating being given to an employee, all evaluations must be reviewed by the individual designated by each work unit as the "Reviewer." In most cases this will be the supervisor's supervisor. The "Reviewer" may be higher up the chain of command in some work units. The Reviewer will monitor the quality and consistency of performance ratings, taking particular note of discrepancies that may reflect bias based on age, gender, ethnicity, disability, sexual orientation, friendship, and the like. The Reviewer will communicate any appearance of bias or other rating error to the supervisor and request a response. If it is determined by the Reviewer that there is indeed a discrepancy, the supervisor will be directed to make such changes as will assure fairness and accuracy among ratings. Employees in each work unit will be advised of the name of their Reviewer. The Reviewer and Supervisor should come to an agreement as to the rating prior to presenting to the employee.

b. All evaluations that include a recommendation for a Level 4 performance salary adjustment must be reviewed by a management-level committee chaired by the Appointing Authority, unless delegated. The DMVA State Personnel Director will act as an advisory member to the committee. The function of this committee, based upon their impartiality and expertise, will be to meet once each year to review Level 4 recommendations. It will be a "quality" review from an objective viewpoint. The committee will mainly be looking for substance in the required mandatory narrative section that accompanies the Level 4 recommendation, as well as fairness and consistency, and whether the recommendation includes how the employee meets the characteristics of a level 4 performer. If the committee has concerns or does not concur with the supervisor's recommendation, those comments will be written up and the DMVA State Personnel Director will present the committee's recommendations to the supervisor for response. The supervisor will have three working days to respond to the Appointing Authority. The Appointing Authority, based upon the recommendations of the Supervisor and the committee, will have the **final** decision as to whether the Level 4 recommendation will stand. This decision will be communicated to the supervisor who must modify the rating, if necessary, before presenting it to the employee for the evaluation. The employee will sign, and the supervisor will return the fully executed form to the DMVA State Personnel Office by May 10.

c. At any time the Appointing Authority, or designee, can call for a committee review of all or any plans and/or evaluations in order to determine whether this Implementation Plan is being followed and generally whether plans and evaluations are of adequate quality and consistency. If it is determined that there are any inadequacies, the Appointing Authority, or designee, can return the plans or evaluations to the supervisor for modification. The Appointing Authority will also monitor the imposition of sanctions against supervisors/reviewers and insure compliance with Colorado Statutes.

d. The DMVA State Personnel Office will check plans and evaluations for "technical" correctness (i.e. math, signatures, required narratives, etc.) Incomplete or inaccurate evaluations will be returned to the supervisor/reviewer for necessary modifications. No evaluation will be considered "received" until all adjustments are made and returned to the DMVA State Personnel Office. A log will be maintained as to the date plans and evaluations are received from each supervisor AND any necessary parties will be advised whether they were timely.

e. Multi-source assessments, such as formal feedback from co-workers, shall be utilized when feasible as part of the employee's evaluation.

## Chapter 3

### Performance Salary Adjustments

#### 3-1. General

The legislature will annually provide funds in order to accomplish performance pay salary adjustments under the performance pay system. The amount of those dollars is determined annually based on a percent of the personal services general fund allocation. Any performance salary adjustments will be made through the payroll method, through CPPS, and will be based on the evaluation results for the previous fiscal year. That is, performance salary adjustments distribution in the fiscal year commencing July 1, 2005 will be based upon evaluation results for the plan year ending March 31 2005. All performance salary adjustments will be calculated and distributed within the parameters of the Performance Pay System Parameters and DMVA's criteria. Performance salary adjustment values will be calculated in June of each year and employees advised of their salary adjustment amount, if any, by mid-July. The salary adjustment dollar amounts will be based upon the employee's July 1 salary, after any other salary adjustments, if any, have been applied.

In order to promote uniformity and equity throughout the Department's state workforce, the percent for each level's performance salary adjustment will be uniform regardless of funding source.

Adjustments will be base-building up to the maximum for the range, and non-base building for employees at the maximum of the range. The final decision as to the percentage amount of each level will be made annually by the Appointing Authority, or designee, within the parameters established annually by the State Personnel Director, DPA, and will apply to all employees regardless of funding source. "Source of funds (e.g. cash, federal or general), method of funding (e.g., appropriated or cooperative agreement), and length of state service shall not be criteria for distinguishing between non-base and base building or combination performance salary adjustments." Prior to the payment of annual performance salary adjustments, the Director (DPA) shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding.

The percent of the salary adjustments for each level will be published by DMVA **each year** and may change annually based upon dollars allocated by the state legislature and federal cooperative agreements. Base-building awards can be up to the range maximum. Values between ranges may not be equal.

No quotas will be established as to the number of employees who can be rated at any given level.

#### 3-2. Parameters

a. Performance salary adjustments will be base building, up to Maximum for the employee's pay range. Employees at or above Maximum must receive a recommendation of Level 4 in order to receive a non-base building performance salary adjustment. Non-base building salary adjustments must be re-earned each year. Level 2 or 3 performers at the maximum of the pay range are not eligible for performance salary adjustments. If the final overall rating is needs improvement the employee is ineligible for an annual performance salary adjustment. Employees in saved pay status whose salary is above

the maximum will be ineligible for a performance salary adjustment. All performance salary adjustments are based on the employee's final overall rating. DMVA will **not** be giving team awards. The workforce is not currently divided into teams.

b. DMVA State Personnel will calculate and provide to the Appointing Authority no later than June 30 of each year the performance level for which each employee has been recommended. The dollar amount for which each employee is eligible "base-building" and "non-base building", and projected percentage to be attached to each level will also be provided. The base pay in effect July 1 after applying other salary adjustments, if any, will be the basis for calculating the July 1 performance salary adjustment (any pay differentials such as shift pay are excluded). The Appointing Authority (Deputy Director of DMVA) must approve the recommended amounts prior to disbursement, after consultation with federal fiscal managers and the budget manager.

c. Performance salary adjustments for federally-funded employees should be built into the respective federal budget requests (each appendix) one year in advance in order to include the three-month difference between the end of the state and federal fiscal year. That is, requests for cash awards to be paid effective July 1, 2005-September 30, 2005 will have been included in the federal October 1, 2004 through September 30, 2005 budget. (This will be a continuation of the method used for including automatic anniversary increases before performance pay.) Funds will be distributed from the various appendices and individual cost allocation plans. Appendices will pay only those costs billed for their appropriate share of an employee's salary (100%, 75% etc), which includes the performance salary adjustment. General funds will not pay for federally funded employees, and federal funds will not pay for generally funded employees, nor will funds cross federal appendices.

d. Affected employees and supervisors will be notified of the salary adjustments prior to July payroll distribution. Such notification will indicate whether the adjustment is base or non-base building. Since the adjustment is for the previous fiscal year, non base-building adjustments will be considered obligated to the employee effective July 1. An employee must be employed by DMVA on July 1 to receive payment of an adjustment. The employee's current Department as of July 1 is responsible for payment of the adjustment. DMVA State Personnel will enter the appropriate amounts in CPPS, whether base building or non-base building, in sufficient time for each July payroll. Base-building adjustments will be included monthly commencing with the July pay, and non-base building must be paid in a lump sum annually in July.

e. An employee granted an annual performance salary adjustment shall not be denied the adjustment because of a corrective or disciplinary action issued for an incident **after** the close of the previous performance cycle.

## Chapter 4 Employee Dispute Resolution Process

### 4-1. General

Personnel Procedures P8-13 through 18 provides for a two-staged review process for PfP disputes: internal and external. Employees may not grieve or appeal their performance plan or rating, but they may request a review. Employees may dispute their individual performance plan, including lack of a plan during the planning cycle; their individual performance evaluation; lack of a performance evaluation; the application of DMVA's Performance Pay Program to the individual employee's agreement and/or evaluation; and, full payment of the salary adjustment. Employees may not dispute the content of DMVA's Implementation Plan; matters related to the funds appropriated; the performance evaluations and salary adjustments of other employees; and, the amount of a performance salary adjustment, including whether it is base or non-base building, any combination or none, unless the issue involves the application of DMVA's Performance Pay Program. Retaliation against any employee involved in the dispute resolution process is prohibited. A description of the internal dispute resolution process, including timelines and name or position of the appointing authority, shall be given to employees annually at the time of evaluation.

### 4-2. Internal Process

Employees are encouraged to resolve reviewable issues at the lowest level possible and in a timely fashion. Formal internal review procedures are as follows:



a. All requests for review must be in writing. Only the issue(s) as originally presented in writing shall be considered throughout the process. The scope of authority for any individuals making decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the agency's program.

b. The request must be within five (5) working days of the event giving rise to the request for review (e.g. the final evaluation decision), including the day the disputable event occurred.

c. The request should be sent to the DMVA State Personnel Director, who will immediately give it to the Appointing Authority for determination or delegation. All employees must be notified of the authorized decision-maker for their disputes.

d. The Appointing Authority, or designee, shall meet with the employee and supervisor within five (5) working days of receipt of the request unless this time frame is waived by both parties due to situations beyond their control (deployment, pre-arranged vacations, etc.) The employee does not have an absolute right to legal representation, but may have an advisor present. A co-worker would not be considered an advisor. The employee is expected to represent and speak for him or herself. Only issues addressed in the original written request may be discussed.

e. The Appointing Authority or designee will make a final written decision within three (3) working days of the meeting, and is authorized to instruct the supervisor to: follow DMVA's implementation plan; correct an error; or reconsider a performance evaluation or agreement, if appropriate. Mediation may be recommended. Their authority is limited to reviewing the facts within the limits of this implementation plan. They may not substitute their judgment for that of the supervisor. They may not render a decision that would alter the implementation plan. The decision should be sent to the supervisor, with a copy to the employee and the DMVA State Personnel Office.

f. Based on consideration of the recommendations received, the supervisor should then make a final decision within five (5) working days and advise the employee of that decision.

g. At the completion of the internal stage of the dispute resolution process for issues disputable at the external stage (to the Personnel Director, DPA), the employee will be advised in writing of the deadlines and address for filing with the Director. Such notice will include the requirement that they must attach a copy of the original written dispute and the Department's final decision. This decision is final and binding relative to issues involving an individual agreement or evaluation.

#### 4-3. External Process

a. Only the original issues involving the application of this implementation plan to the individual agreement and/or evaluation or full payment of an award are reviewable outside DMVA. The scope of authority for any individuals making decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the agency's program. The employee must send a written request for review to the State Personnel Director Attention: Appeals Processing, 1313 Sherman Street, Room 122, Denver, CO 80203, within five (5) working days of receipt of the final decision by DMVA if they wish to pursue the matter further. The request must include copies of the original issues and the final decision of the Department.

b. The State Personnel Director or designee may select a qualified neutral third party to review the issues presented. The Director has 30 days to issue a written decision that is final and binding. Said individuals) shall not substitute their judgment for that of the rater, reviewer or the Department's dispute resolution decision maker at the internal dispute stage.

c. Only issues originally presented in writing shall be considered throughout the dispute resolution process

d. In reaching a final decision these individuals have the authority to instruct a rater(s) to: a) follow agency's program, b) correct an error, or, c) reconsider an individual performance plan or final overall evaluation. They may also suggest other appropriate processes such as mediation.

## Chapter 5

### Miscellaneous

#### 5-1. Transfers Out

When an employee transfers out of DMVA and a non-base building performance salary adjustment is owed, DMVA will be responsible for paying the remainder, if any, of that adjustment at the time of transfer [P-3-20 (D)].

#### 5-2. Separation

In all circumstances, a non-base building salary adjustment is considered obligated and will be paid out [P-3-20 (D).]

#### 5-3. Diversity

##### a. DMVA's definition of diversity:

All cultures and individuals are of equal worth and bring their own uniqueness, which blended together makes for a richer, more enlightened and more productive workforce. None are of less value than another. Each is a part, which becomes a whole. Full diversity is the epitome of fairness, and represents a healthy organization in which to pool the talents of each.

##### b. Our policy:

To afford to all individuals, regardless of ethnicity, culture, age, gender, sexual preference, disability or religion, insofar as those facts are known or disclosed, equality in hiring into the DMVA workforce, promotions, retention, training opportunities, performance management ratings, performance pay adjustments, inclusion in special function and on committees, and a safe and pleasant work environment.

c. Every effort will be made to insure that all individuals are afforded the same opportunity to achieve and be rewarded for Level 4 Performance insofar as their job performance warrants. This will be monitored and documented. Adverse action may be taken against any supervisor found to willfully violate this policy.

#### 5-4. Ongoing Training of New Employees and Supervisors

New employees are briefed as a part of their New Employee Orientation. New supervisors are trained annually in daylong classes conducted by DMVA State Personnel, of which Pay for Performance will be a large part. If deemed necessary, separate Performance Pay classes may be held to develop performance measures. Employees and supervisors are updated as changes occur through memos from, or meetings conducted by, DMVA State Personnel. DMVA *may* call upon assistance from DPA/DHR for Performance Management and other training. Attendance at training is mandatory for all supervisors of state employees, including those who are non-state. Refusal to attend training will result in an unsatisfactory performance rating. Training consists of the history and concept of performance pay/management, guidance through the DMVA implementation plan, training as to how to write meaningful, measurable factors, the process for disputes, and how to effectively utilize performance planning/evaluation as a management tool. All are provided the implementation plan as well as the DMVA form.

#### 5-5. Evaluation of DMVA's Performance Management Program

Modifications to this Plan and the Plan and Evaluation form will be made and published should it be deemed appropriate. Ongoing modifications are anticipated during the first years of implementation. A report will be made to the Executive Director (TAG), including number and outcome of Reviews requested by employees, amounts and types of awards, both cash and non-cash, and other pertinent information. The TAG at his discretion may appoint a state executive overview committee to review this and other data to determine the quality of DMVA's Performance Pay policies. Annual report requirements will be met as requested. An annual study will be made thereafter, as necessary.

## 5-6. Annual Report Requirements

DMVA will be entering performance salary adjustments and ratings into a spreadsheet and the information will be downloaded and reported from that program to DPA. Other data will be downloaded by DPA from CPPS.

STATE OF COLORADO

DEPARTMENT OF MILITARY & VETERANS AFFAIRS

PERFORMANCE PLAN AND EVALUATION

for

\_\_\_\_\_  
(employee name)

FY \_\_\_\_\_

**DMVA MISSION STATEMENT:**

Provide day-to-day command and control, guidance, policies, and administrative and logistics support to the Divisions of the National Guard, Veterans Affairs and Civil Air Patrol. By statute, that support includes safekeeping and management of military real estate, veterans cemetery, equipment, facilities and buildings; publishing necessary regulations, orders and reports; maintaining records; and hiring personnel to carry out those missions.

17 February 2006

**DEMOGRAPHIC DATA:**

Employee's Job Title \_\_\_\_\_

Work Unit \_\_\_\_\_ Supervisor Name \_\_\_\_\_  
Appraisal Period: \_\_\_\_\_ to \_\_\_\_\_ (Annual/Interim)

Date Received by Personnel  
Office \_\_\_\_\_

Accepted as correct \_\_\_\_\_

or

Returned by: \_\_\_\_\_

on \_\_\_\_\_

Received back on \_\_\_\_\_

**Performance PLAN** established with employee input on \_\_\_\_\_  
(date)

Supervisor's signature: \_\_\_\_\_  
(print name)

Employee's signature: \_\_\_\_\_  
(print name)

**COPY MUST BE PROVIDED TO EMPLOYEE AT TIME OF SIGNING. Copy to DMVA Personnel Office.**

**Interim reviews conducted on** \_\_\_\_\_  
(both required) (August) (December)

Supervisor's Initials \_\_\_\_\_  
Employee's Initials \_\_\_\_\_

**Final EVALUATION** performed with employee input on \_\_\_\_\_  
(date)

**Eligible and recommended for: (from page 3) (Please mark one)**

Level 2 \_\_\_\_\_ OR Level 3 \_\_\_\_\_ OR Level 4 \_\_\_\_\_ OR No Salary Adjustment (reason) \_\_\_\_\_

Supervisor's signature \_\_\_\_\_

Employee's signature \_\_\_\_\_

Reviewer signature \_\_\_\_\_

**COPY MUST BE PROVIDED TO EMPLOYEE AT TIME OF SIGNING. Original to DMVA Personnel Office.**

CORE COMPETENCIES RATINGS: Met \_\_\_\_\_ Did not Meet \_\_\_\_\_ NI \_\_\_\_\_

If there are 2 or more "Did not Meet" or 3 or more "Needs Improvement", employee is not eligible for a performance salary adjustment.

**SUPERVISOR RATING:**

FACTOR: completed plans/evaluations timely: Met \_\_\_\_\_ Did not Meet \_\_\_\_\_

If did not meet, not eligible for any performance salary adjustment

**FINAL RATING FOR JOB SPECIFIC TECHNICAL COMPETENCE**

Factor 1	_____	Final Points	=	_____
Factor 2	_____	Final Points	=	_____
Factor 3	_____	Final Points	=	_____
Factor 4	_____	Final Points	=	_____
Factor 5	_____	Final Points	=	_____
Factor 6	_____	Final Points	=	_____
Factor 7	_____	Final Points	=	_____
Factor 8	_____	Final Points	=	_____
Factor 9	_____	Final Points	=	_____
Factor 10	_____	Final Points	=	_____

Total Final Points Technical = \_\_\_\_\_ (cannot be more than 100)

Level 1 = Below 68 ; Level 2 = 68-84; Level 3 = 85-100.

Level 4 recommendation – complete Mandatory section on previous page (must have a technical score in Level 3 range)

Any employee receiving an overall Level 1 rating must receive a corrective action.

Performance Salary Adjustments are based on criteria set forth in the State of Colorado compensation policies and the DMVA Plan. After receiving the final executed evaluation form with the rater and reviewer's recommendations, the State Human Resource Office will calculate the % amount for which each employee may be eligible based on the employee's performance evaluation (i.e. Level 1, 2, 3 or 4) and based on each employee's salary relative to the "maximum" for her/his classification. The actual amount will always depend upon funds available, regardless of recommendation.

## STATEWIDE CORE COMPETENCIES

You will be evaluated on the following core competencies. A competency is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully. **These competencies are mandatory and universal across the state system.**

Instructions: At time of evaluation check appropriate box indicating whether the competency factor was met, simply needed improvement, or was not met during the rating period.

Two or more core competency factors rated as "Not Met" will preclude the employee from receiving any performance salary adjustment. NI = Needs Improvement. This addresses issues that should have been dealt with in the interim reviews but were still not met by evaluation year's end. Three or more NI's preclude the employee from receiving any performance salary adjustment. A competency factor is one of the items under the main competency heading(s).

Rating scale:	Did not Meet	NI	Met
_____			

### Communication

The employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and customers so as to anticipate problems and ensure the effectiveness of the Department of Military & Veterans Affairs.

#### Factors

The employee has a demonstrated ability to:

Communicate respectfully with others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintain confidentiality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Respond in a prompt and courteous manner to requests and inquiries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments if "not met"

### Interpersonal Skills

The employee interacts effectively with others to establish and maintain smooth working relations. The employee develops and maintains smooth working relations by successfully interacting with others around her/him. The employee gains confidence and trust, considers and responds tactfully to the needs of others, takes personal responsibility for own words and actions.

#### Factors

The employee has a demonstrated ability to:

Treat others with respect	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Treat others fairly and without prejudice or bias.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Be depended upon by peers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promote cooperation and teamwork	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Build trust and work with integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments if "not met"

Rating scale:

Did  
not  
Meet      NI      Met

### Customer Service

The employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the Department of Military & Veterans Affairs, and works effectively with internal/external customers to satisfy service expectations.

#### **Factors**

The employee has a demonstrated ability to

Treat the customer with respect and courtesy  
Provide consistent, quality service to all customers  
Offer appropriate and innovative solutions to customer problems  
Meet customer expectations in a timely manner

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments if "not met"

### Accountability

The employee's work behaviors demonstrate responsible personal and professional conduct, which contribute to the overall goals and objectives of the Department of Military & Veterans Affairs.

The employee takes initiative to improve professional growth and development to improve the functioning of the Department; and has a strong work ethic that relates to accomplishing the goals and mission.

#### **Factors**

The employee has a demonstrated ability to

Provide consistent, timely, high quality work  
Complete work by established time lines or in advance of deadlines  
Keep confidential information confidential  
Adhere to established work schedule  
Seek new and/or additional training opportunities to obtain mastery over tasks  
Display a high degree of honesty/integrity

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments if "not met"

### Job Knowledge

The employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

The employee utilizes and upgrades knowledge of the skills that make him/her an asset to the Department of Military & Veterans Affairs.

#### **Factors**

The employee has a demonstrated ability to:

Remain current on professional/technical knowledge and/or licensing  
Show professional/personal pride in her/his work  
Instill confidence in recipients of service regarding her/his area of expertise

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments if "not met"



Following are definitions for Performance Levels as defined by the State Personnel Director, DPA, to be used state wide.

**Level 4 - Outstanding**

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

**Level 3 - Excellent**

This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

**Level 2 - Proficient**

This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

**Level 1- Needs Improvement**

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more consistent, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a Level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

## SUPERVISOR RATINGS ONLY

Completed plans and appraisals, including interim reviews, on subordinates by established deadline

Did not meet requirement

☐

Met requirement

☐

IF SUPERVISOR DID NOT MEET ABOVE REQUIREMENT, NO AWARD IS PAYABLE

### Job Specific Technical Factors:

Enter as many factors as will adequately reflect the expected outcomes. Remember, the factors must be measurable! Factors should be based on the PDQ. Select the most important aspects of any position. Everything does not need to be included.

(Supervisors and employees keep in mind that levels of performance must be measured by: quality, quantity, accuracy and timeliness.) Comments optional for Level 2, & 3; Mandatory for Level 1. Each factor should be assigned a weight. Total of all factors should equal 100%. At time of evaluation, insert final factor points in box. Points can be 0 to factor "weight". Example: if the weight is 20%, the points can be between 0 and 20. See page 9 for instructions on Level 4 recommendations.

*You must outline how your employee can reach level 2 or 3 for each factor/task. Remember, accomplishing the assigned task is a Level 2. Level 2 is 68-84 % of the total weight. Level 3 is 85-100 % of the total. Less than 68% is a Level 1. Example: Total factor weight is 20%. The employee meets the criteria for level 2. Thus, the factor points would be between 13.6 and 16.8). If the employee meets the criteria for level 3, the factor points would be between 16.9 and 20.*

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%	
Level 2	68	To	84%	
Level 3	85	To	100%	

Factor Points

---

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%	
Level 2	68	To	84%	
Level 3	85	To	100%	

Factor Points

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%	
Level 2	68	To	84%	
Level 3	85	To	100%	

Factor Points

---

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%	
Level 2	68	To	84%	
Level 3	85	To	100%	

Factor Points

---

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%	
Level 2	68	To	84%	
Level 3	85	To	100%	

Factor Points

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%
Level 2	68	To	84%
Level 3	85	To	100%

Factor Points

---

Factor Weight

FACTOR/TASK:

Standard for a level 2:

Standard for a level 3:

Evaluation Comments:

Level 1	0%	To	67%
Level 2	68	To	84%
Level 3	85	To	100%

Factor Points

**MANDATORY** section if recommending a Level 4 Award In order to be eligible for a Level 4 Award, the Core Competencies must all be **met** and the overall Technical Factors rating must be a **Level 3**. Outline here what in this person's job performance this past year qualifies her/him for a Level 4 award? Be specific. If this section is not adequately completed, a Level 4 Award will **not** be considered.

*You should enumerate here extraordinary accomplishments not included in original Technical Factors, such as special assignments/projects, etc. that were significant (how this individual's innovation improved processes for the Department or saved the Department money (unless saving money is an inherent part of the assignment) etc that "may" qualify the employee for a Level 4 award. Think "Role Model." The contribution should be easily recognizable by a lay person as Level 4 (Outstanding) work. **Final approval will be made by the reviewing committee** (use a narrative or bullets):*

**Performance Comments** (optional) This section can be used to set forth accomplishments other than those in the Factors section, where an employee has performed outside the bounds of their job description in a positive way yet not at Level 4. It can also be used to set forth Training expectations.

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## **GLOSSARY – Abbreviations**

### **AGR**

Active duty Guard or Reserve

### **DMVA**

Department of Military & Veterans Affairs

### **DHR**

Division of Human Resources

### **DPA**

Department of Personnel & Administration

### **EEO**

Equal Employment Opportunity

### **EMPL**

Main frame computer sub-system containing all state personnel records

### **NI**

Needs Improvement

### **PfP**

DMVA's designation for the state performance based pay system

### **PDQ**

Position Description Questionnaire

### **P.O.C.**

Point of contact

### **TAG**

The Adjutant General